



Broad Agency Announcement
Science of Atomic Vapors for New Technologies (SAVaNT)
Defense Sciences Office

HR001120S0062

August 19, 2020

Table of Contents

I.	Funding Opportunity Description.....	4
A.	Introduction.....	4
B.	Background.....	4
C.	Program Description/Scope.....	5
D.	Program Structure.....	5
E.	Technical Area (TA) Descriptions.....	5
G.	Deliverables.....	9
II.	Award Information.....	9
A.	General Award Information.....	9
B.	Fundamental Research.....	10
III.	Eligibility Information.....	11
A.	Eligible Applicants.....	11
B.	Organizational Conflicts of Interest.....	11
C.	Cost Sharing/Matching.....	12
IV.	Application and Submission Information.....	13
A.	Address to Request Application Package.....	13
B.	Content and Form of Application Submission.....	13
C.	Submission Dates and Times.....	17
D.	Funding Restrictions.....	17
E.	Other Submission Requirements.....	17
V.	Application Review Information.....	22
A.	Evaluation Criteria.....	22
B.	Federal Awardee Performance and Integrity Information (FAPIIS).....	23
VI.	Award Administration Information.....	23
A.	Selection Notices.....	23
B.	Administrative and National Policy Requirements.....	23
C.	Reporting.....	29
VII.	Agency Contacts.....	29
VIII.	Other Information.....	30
A.	Frequently Asked Questions (FAQs).....	30
B.	Proposers Day.....	30

BAA Attachments:

- Attachment A: ABSTRACT SUMMARY SLIDE TEMPLATE
- Attachment B: ABSTRACT TEMPLATE
- Attachment C: PROPOSAL SUMMARY SLIDE TEMPLATE
- Attachment D: PROPOSAL TEMPLATE VOLUME 1: TECHNICAL & MANAGEMENT
- Attachment E: PROPOSAL TEMPLATE VOLUME 2: COST
- Attachment F: MS Excel™ DARPA COST PROPOSAL SPREADSHEET
- Attachment G: PROPOSAL TEMPLATE VOLUME 3: ADMINISTRATIVE & NATIONAL POLICY REQUIREMENTS
- Attachment H: CONTROLLED UNCLASSIFIED INFORMATION (CUI) GUIDE

PART I: OVERVIEW INFORMATION

- **Federal Agency Name:** Defense Advanced Research Projects Agency (DARPA), Defense Sciences Office (DSO)
- **Funding Opportunity Title:** The Science of Atomic Vapors for New Technologies (SAVaNT)
- **Announcement Type:** Initial Announcement
- **Funding Opportunity Number:** HR001120S0062
- **Catalog of Federal Domestic Assistance (CFDA) Number(s):** 12.910 Research and Technology Development
- **Dates** (All times listed herein are Eastern Time.)
 - Posting Date: August 21, 2020
 - Proposers Day: September 3, 2020, See Section VIII.B.
 - Abstract Due Date: September 11, 2020, 4:00 p.m.
 - FAQ Submission Deadline: October 13, 2020, 4:00 p.m. See Section VIII.A.
 - Full Proposal Due Date: October 27, 2020, 4:00 p.m.
- **Anticipated Individual Awards:** DARPA anticipates multiple awards
- **Types of Instruments that May be Awarded:** Procurement contracts, grants, cooperative agreements or Other Transactions. Award instruments will be limited to procurement contracts and Other Transactions for Proposers whose proposed solution includes Controlled Unclassified Information (CUI).
- **Agency contacts**
 - **Technical POC:** Tatjana Curcic, Program Manager, DARPA/DSO
 - **BAA Email:** SAVaNT@darpa.mil
 - **BAA Mailing Address:**
DARPA/DSO
ATTN: HR001120S0062
675 North Randolph Street
Arlington, VA 22203-2114
 - **DARPA/DSO Opportunities Website:** <http://www.darpa.mil/work-with-us/opportunities>
- **Frequently Asked Questions (FAQ):** FAQs for this solicitation may be viewed on the DARPA/DSO Opportunities Website. See Section VIII.A for further information.

PART II: FULL TEXT OF ANNOUNCEMENT

I. Funding Opportunity Description

This Broad Agency Announcement (BAA) constitutes a public notice of a competitive funding opportunity as described in Federal Acquisition Regulation (FAR) 6.102(d)(2) and 35.016 as well as 2 C.F.R. § 200.203. Any resultant negotiations and/or awards will follow all laws and regulations applicable to the specific award instrument(s) available under this BAA, e.g., FAR 15.4 for procurement contracts.

A. Introduction

The Defense Sciences Office (DSO) at the Defense Advanced Research Projects Agency (DARPA) is soliciting innovative research proposals that significantly advance the performance of atomic vapors for electric field sensing and imaging, magnetic field sensing, and quantum information science (QIS). Proposed research should investigate innovative approaches that enable revolutionary advances in science, devices, systems, or novel applications of atomic vapors. Specifically excluded is research that primarily results in evolutionary improvements to the existing state of practice.

B. Background

Atoms are constants of nature: they are not subject to manufacturing variabilities, defects, impurities, or aging, making them ideal for precision measurements. This is most evident in atomic clocks that are accurate to a fraction of a second over the age of the universe. However, such high-precision quantum devices typically require laser-cooled and trapped atoms that are kept at microKelvin temperatures to mitigate thermal noise effects, necessitating laboratory-scale expansive setups.

Vapor-based technologies¹, on the other hand, operate at or near room temperature (RT) without complex laser cooling and trapping, but still offer the advantages derived from the pristine nature of atoms. Our ability to manipulate atoms with light has advanced tremendously over the past couple of decades, including powerful quantum methods, such as Electromagnetically Induced Transparency (EIT) and Spin Exchange Relaxation Free (SERF) magnetometry. Such techniques are enhanced with a bigger and richer toolbox, including more stable and more compact lasers and advanced vapor cell technologies. These combined scientific and technology developments have enabled novel uses of atomic vapors, from Rydberg electrometry and SERF magnetometry to novel components for quantum information systems. Recent advances in strategies for addressing the performance limitations of current methods and novel theoretical ideas on the uses for atomic vapors indicate the possibility for significant breakthroughs in vapor-based devices.

The principal performance limitations of atomic vapors are directly related to their RT operation and decoherence due to thermal and other effects. Typically, a measurement procedure has three steps: (1) state preparation of the atoms in the vapor, (2) field-sensor interaction, and (3) readout. The sensitivity of the measurement directly depends on the coherence time of the prepared state. Coherence time is limited by various thermal effects: atom-atom collisions and collisions of

¹ In recent years, several companies have developed commercial vapor-based products primarily for applications in timing and magnetometry.

atoms with vapor-cell walls, Doppler shift of the atomic frequency due to the atom motion relative to the laser probe, and transit time broadening caused by the limited interaction time of atoms with probe fields due to their motion in-and-out of the field. These and other effects have prevented atomic vapor based technologies from reaching their full performance potential. The Science of Atomic Vapors for New Technologies (SAVaNT) program aims to develop techniques to mitigate main decoherence mechanisms in order to realize the full potential of the atomic vapor based technologies.

C. Program Description/Scope

SAVaNT will advance the performance of the versatile atomic vapor platform with metrics informed by limitations of the current state of the art (SOA). The program has three Technical Areas (TAs) based on the application domains where atomic vapors are expected to have the biggest impact: Rydberg Electrometry (TA1), Vector Magnetometry (TA2), and Vapor Quantum Electrodynamics (vQED) (TA3). SAVaNT advances will lay the foundations for new technologies that address important DoD needs, including applications that require low size, weight and power (SWaP), high sensitivity electric and magnetic field measurements as well as application that require scalable room-temperature quantum memories and interfaces.

The common scientific challenge across the program will be to improve atomic coherence in vapors. The associated technical challenges will depend on the specifics of the most dominant decoherence mechanisms in each approach.

D. Program Structure

SAVaNT is a 48-month program broken into two phases and three Technical Areas (TAs). Proposers seeking awards for multiple TAs must submit stand-alone proposals for each.

SAVaNT is structured with a Phase 1 base period and a Phase 2 option:

- Phase 1 (24 months) will focus on demonstration of the physics aimed at addressing the technical challenges as described in the TA descriptions of Section E. Performers' progress during Phase 1 will be measured against the 12 month and 24 month metrics shown in Table 1 below. Program reviews will take place at months 12 and 22 to assess performer progress against Phase 1 metrics and inform DARPA's Phase 2 selection decisions. Performers who are successful in Phase 1 may be selected to move on to Phase 2.
- Phase 2 (24 months) is conditional on success in Phase 1 and will demonstrate an integrated benchtop physics package and characterize the performance trade space and meet the metrics specified in Table 1. The trade space will be specific to the targeted application and finalized in Phase 1 through discussion between the performer and DARPA.

E. Technical Area (TA) Descriptions

The SAVaNT program has three TAs, each with its own set of technical risks and challenges. Each proposal may only respond to one TA. As of the date of publication of this BAA, it is anticipated that TAs 1 and 2 may generate information subject to Controlled Unclassified Information (CUI) or Controlled Technical Information (CTI) controls. Potential award instruments for proposals containing CUI will be limited to contracts or Other Transactions. Proposers should review BAA Section VI.B.6 regarding DoD requirements related to protection

of CUI and CTI. In addition, proposers should review Attachment H: CONTROLLED UNCLASSIFIED INFORMATION (CUI) GUIDE to assist in proposal preparation.

TA1 - Rydberg Electrometry:

Rydberg electrometry is a relatively new technique that utilizes atoms to sense electric fields. Although the method still has much room for improvement, it has notable advantages over antennas, including extremely large operational bandwidth (MHz-THz) accessible with a single device, potential for high sensitivity, and SI-traceability that enables self-calibration. In addition, for some EMC and communications applications, the combination of high sensitivity and narrow instantaneous bandwidth is a major advantage. In the Rydberg sensor, atoms are optically prepared in a state that is particularly sensitive to an incident electric field. The readout is performed optically as well.^{2,3}

Rydberg sensor sensitivity can, in principle, be orders of magnitude better than what is possible with conductive methods that are limited by Johnson noise. Its sensitivity is limited by the atom coherence time, with the fundamental limit determined by the quantum projection noise. Current Rydberg electric field sensors are generally less sensitive than antennas due to various thermal effects such as atom collisions, Doppler broadening, and black-body effects as well as laser shot noise, among others. The instantaneous bandwidth of Rydberg electrometry can be very narrow and is fundamentally limited by the atomic linewidth allowing, in principle, for ultranarrow fractional bandwidth.⁴

The primary focus in this TA is on improving sensitivity and instantaneous bandwidth of Rydberg electrometry with the metrics and goals as specified in Table 1. Proposers are expected to meet both the sensitivity and instantaneous bandwidth metrics. In Phase 2, those should be demonstrated in an integrated physics package. Of particular interest is the 10-100 GHz part of the spectrum. Proposers should state the frequency or frequency range that they will target. The sensitivities in Table 1 below should be used as a guide to provide sensitivity metrics for the chosen proposal frequency or frequency range. Proposers should clearly delineate approaches and justification for meeting the goals. Dominant noise and decoherence effects should be addressed in detail and proposed strategies for mitigating those effects should be clearly described.

TA2 - Vector Magnetometry:

Vapor magnetometers have already demonstrated one of the highest scalar magnetic field sensitivities of any device. However, achieving this high sensitivity comes with hefty requirements, such as expansive magnetic shielding and/or complex active cancellation of ambient magnetic fields. Furthermore, for some important applications such as magnetic anomaly detection, the full vector field information at DC is desired. While methods to achieve

² Kübler, H. Shaffer, J.P. et. al., "Atom-based sensing of microwave electric fields using highly excited atoms: mechanisms affecting sensitivity," Proc. SPIE 10934, Optical, Opto-Atomic, and Entanglement-Enhanced Precision Metrology, 1093406 (2019)

³ Fan, H. *et al.* Atom based RF electric field sensing. *J. Phys. B At. Mol. Opt. Phys.* **48**, 202001 (2015).

⁴ Beterov, I. I., Ryabtsev, I. I., Tretyakov, D. B. & Entin, V. M. Quasiclassical calculations of blackbody-radiation-induced depopulation rates and effective lifetimes of Rydberg nS, nP, and nD alkali-metal atoms with $n \leq 80$. *Phys. Rev. A - At. Mol. Opt. Phys.* **79**, 1–11 (2009).

vector modality with vapors have been demonstrated using the mature and widely used optically pumped magnetometers (OPMs),⁵ the resulting vector sensitivity is orders of magnitude worse than SOA commercial three-axis fluxgate magnetometers. Recently, a novel promising approach to realizing vector modality with a single sensor was demonstrated using cold atoms.⁶

This TA is focused on achieving vapor-based vector magnetometry of quasi-DC fields (1 mHz – 100 Hz) with high sensitivity and accuracy, in a small physics package, that can surpass the current SOA fluxgates, as specified in Table 1. All three metrics should be met and demonstrated in an integrated physics package in Phase 2. Proposers should provide clear and detailed descriptions of approaches and justifications for meeting the metrics, e.g., strategies for reducing sensitivity to noise in the applied fields and methods for reducing heading errors.

TA3 - Vapor Quantum Electrodynamics (vQED):

The underlying architecture of many quantum information systems implements a cavity quantum electrodynamics system (CQED), which exploits the strong interaction between light confined in a cavity and atoms to generate coherent superposition states of atoms and light. CQED allows quantum information to be transferred between atoms (matter qubits) and photons, which can carry quantum information across large distances, thus enabling quantum networks. CQED typically requires cryogenics, as in various solid-state realizations, or laser cooling and trapping which poses scaling limitations for quantum information systems.

A recent study proposed that CQED might be possible with warm atomic vapors combined with high-Q nanophotonic cavities (vQED).⁷ In contrast to typical CQED, vQED utilizes room temperature, strongly interacting atomic vapor–light systems that do not require cryogenics or complex optical systems and are, thus, much more scalable. While the atom-light coupling demonstrated in vapors is currently very small,⁸ the recent study suggests that an improvement by several orders of magnitude is feasible.

The principal goal of this TA is a demonstration of a room temperature, vapor-based quantum electrodynamics platform in the strong-coupling regime. The figure of merit is cooperativity $C=g^2/\kappa\cdot\gamma$ where g is the atom-photon coupling, κ is the decoherence rate of the atoms, and γ is the decoherence rate of the cavity photons. Table 1 specifies the cooperativity goals in the program. Proposers should provide clear and detailed descriptions of approaches and justifications for reaching these goals, e.g., methods for combating decoherence caused by thermal effects, such as inhomogeneous and transit time broadening, as well as mitigating other parasitic factors, such as the modification of the atomic properties due to the atom’s proximity to a dielectric surface.⁷

F. Schedule/Milestones

SAVaNT is structured to provide proof of principle demonstration of significant improvements in vapor-based technologies relevant to applications of interest to the DoD. Proposers should

⁵ O. Gravrand, J. M. Léger, A. Khokhlov, A. Khokhlov, and J. L. Le Mouél, “On the calibration of a vectorial 4 He pumped magnetometer,” *Earth, Planets Sp.*, vol. 53, no. 10, pp. 949–958, 2001.

⁶Thiele, T., Lin, Y., Brown, M. O. & Regal, C. A. Self-Calibrating Vector Atomic Magnetometry through Microwave Polarization Reconstruction. *Phys. Rev. Lett.* **121**, 153202 (2018).

⁷ Alaeian, H., Ritter, R., Basic, M., Löw, R. & Pfau, T. Cavity QED based on room temperature atoms interacting with a photonic crystal cavity: a feasibility study. *Appl. Phys. B* **126**, 25 (2020).

⁸ Ritter, R. *et al.* Coupling thermal atomic vapor to an integrated ring resonator. *New J. Phys.* **18**, (2016).

specify the research and technology development schedule for the full period of performance, split between Phase 1 and Phase 2. The Statement of Work (SOW) must provide a detailed task breakdown, citing specific tasks and their connection to interim milestones and metrics, as applicable. Proposers should provide a technical and programmatic strategy that conforms to the entire program schedule and presents an aggressive plan to fully address all program goals, metrics, milestones, and deliverables. The task structure must be consistent across the proposed schedule, SOW, and cost volume.

Schedules will be synchronized across performers, as required, and monitored/ revised as necessary throughout the program. A target start date of April 2021 may be assumed for planning purposes.

The following metrics will serve as evaluation points during the course of the program, along with any additional metrics included in the proposal; proposers should incorporate these into their SOW. Performers' progress during Phase 1 will be measured against the 12 month and 24 month metrics shown in Table 1 below. Program reviews will take place at months 12 and 22 to assess performer progress against Phase 1 metrics and inform DARPA's Phase 2 selection decisions. Performers who are successful in Phase 1 may be selected to move on to Phase 2.

Metrics Table	Phase 1 (24 months)		Phase 2 (24 months)
	12 months	24 months	
TA1: Rydberg Electrometry			
Electric field sensitivity	10 nV/cm√Hz @ 10 GHz 100 nV/cm√Hz @ 100 GHz	1 nV/cm√Hz @ 10 GHz 10 nV/cm√Hz @ 100 GHz	0.1 nV/cm√Hz @ 10 GHz 1 nV/cm√Hz @ 100 GHz
Fractional instantaneous bandwidth ($\Delta f/f_{center}$)	10^{-4}	10^{-5}	10^{-6}
TA2: DC Vector Magnetometry			
Magnetic field sensitivity (1 mHz – 100 Hz)	50 pT/√Hz	10 pT/√Hz	300 fT/√Hz
Accuracy	50 nT	10 nT	1 nT
Physics package volume	1 cm ³	100 mm ³	5 mm ³
TA3: Vapor Quantum Electrodynamics			
Cooperativity $C = g^2/\kappa\gamma$	1	10	100

Table 1. SAVANT program metrics by Phase and Technical Area

Meetings and Travel

- To foster collaboration between teams and disseminate program developments, a two-day Principal Investigator (PI) meeting will be held approximately every six months with locations split between the East and West Coasts of the United States. For budgeting purposes, plan for eight two-day meetings over the course of 48 months: five meetings in the Washington, D.C. area and three meetings in the San Francisco, CA area.
- All proposals must also include the following meetings in the proposed schedule and costs: Regular teleconference meetings will be scheduled with the Government team for progress reporting as well as problem identification and mitigation.
- Proposers should anticipate at least one site visit per phase by the DARPA Program Manager during which they will have the opportunity to demonstrate progress towards agreed-upon milestones.

G. Deliverables

Performers will be expected to provide at a minimum the following deliverables:

- Comprehensive quarterly technical reports due within ten days of the end of the given quarter, describing progress made on the specific milestones as laid out in the SOW.
- A phase completion report submitted within 30 days of the end of each phase, summarizing the research done.
- Other negotiated deliverables specific to the objectives of the individual efforts. These may include registered reports; experimental protocols; publications; data management plan; intermediate and final versions of software libraries, code, and APIs, including documentation and user manuals; and/or a comprehensive assemblage of design documents, models, modeling data and results, and model validation data.
- Reporting as outlined in Section VI.C.

II. Award Information

A. General Award Information

DARPA anticipates multiple awards. The level of funding for individual awards made under this BAA will depend on the quality of the proposals received and the availability of funds. Awards will be made to proposers⁹ whose proposals are determined to be the most advantageous to the Government, all evaluation factors considered. See Section V for further information.

The Government reserves the right to:

- select for negotiation all, some, one, or none of the proposals received in response to this solicitation;
- make awards without discussions with proposers;
- conduct discussions with proposers if it is later determined to be necessary;
- segregate portions of resulting awards into pre-priced options;
- accept proposals in their entirety or select only portions of proposals for award;
- fund awards in increments with options for continued work at the end of one or more phases;
- request additional documentation once the award instrument has been determined (e.g., representations and certifications); and
- remove proposers from award consideration should the parties fail to reach agreement on award terms within a reasonable time or the proposer fails to provide requested additional information in a timely manner.

Proposals identified for negotiation may result in a procurement contract, grant, cooperative agreement, or Other Transaction, depending upon the nature of the work proposed, the required degree of interaction between parties, and other factors.

⁹ As used throughout this BAA, “proposer” refers to the lead organization on a submission to this BAA. The proposer is responsible for ensuring that all information required by a BAA--from all team members--is submitted in accordance with the BAA. “Awardee” refers to anyone who might receive a prime award from the Government, including recipients of procurement contracts, grants, cooperative agreements, or Other Transactions. “Subawardee” refers to anyone who might receive a subaward from a prime awardee (e.g., subawardee, consultant, etc.).

Proposers looking for innovative, commercial-like contractual arrangements are encouraged to consider requesting Other Transactions. To understand the flexibility and options associated with Other Transactions, consult <http://www.darpa.mil/work-with-us/contract-management#OtherTransactions>.

In accordance with 10 U.S.C. § 2371b(f), the Government may award a follow-on production contract or Other Transaction (OT) for any OT awarded under this BAA if: (1) that participant in the OT, or a recognized successor in interest to the OT, successfully completed the entire prototype project provided for in the OT, as modified; and (2) the OT provides for the award of a follow-on production contract or OT to the participant, or a recognized successor in interest to the OT.

In all cases, the Government contracting officer shall have sole discretion to select award instrument type, regardless of instrument type proposed, and to negotiate all instrument terms and conditions with selectees. DARPA will apply publication or other restrictions, as necessary, if it determines that the research resulting from the proposed effort will present a high likelihood of disclosing performance characteristics of military systems or manufacturing technologies that are unique and critical to defense. Any award resulting from such a determination will include a requirement for DARPA permission before publishing any information or results on the program. For more information on publication restrictions, see the section below on Fundamental Research.

B. Fundamental Research

It is DoD policy that the publication of products of fundamental research will remain unrestricted to the maximum extent possible. National Security Decision Directive (NSDD) 189 defines fundamental research as follows:

‘Fundamental research’ means basic and applied research in science and engineering, the results of which ordinarily are published and shared broadly within the scientific community, as distinguished from proprietary research and from industrial development, design, production, and product utilization, the results of which ordinarily are restricted for proprietary or national security reasons.

Proposers should indicate in their proposal whether they believe the scope of the research included in their proposal is fundamental or not. While proposers should clearly explain the intended results of their research, the Government shall have sole discretion to determine whether the proposed research shall be considered fundamental and to select the award instrument type. Appropriate language will be included in resultant awards for non-fundamental research to prescribe publication requirements and other restrictions, as appropriate. This language can be found at <http://www.darpa.mil/work-with-us/additional-baa>.

For certain research projects, it may be possible that although the research to be performed by a potential awardee is non-fundamental research, its proposed subawardee’s effort may be fundamental research. It is also possible that the research performed by a potential awardee is fundamental research while its proposed subawardee’s effort may be non-fundamental research. In all cases, it is the potential awardee’s responsibility to explain in its proposal which proposed efforts are fundamental research and why the proposed efforts should be considered fundamental research.

III. Eligibility Information

A. Eligible Applicants

All responsible sources capable of satisfying the Government's needs may submit a proposal DARPA's consideration.

1. Federally Funded Research and Development Centers (FFRDCs) and Government Entities

a. FFRDCs

FFRDCs are subject to applicable direct competition limitations and cannot propose to this BAA in any capacity unless they meet the following conditions. (1) FFRDCs must clearly demonstrate that the proposed work is not otherwise available from the private sector. (2) FFRDCs must provide a letter, on official letterhead from their sponsoring organization, that (a) cites the specific authority establishing their eligibility to propose to Government solicitations and compete with industry, and (b) certifies the FFRDC's compliance with the associated FFRDC sponsor agreement's terms and conditions. These conditions are a requirement for FFRDCs proposing to be awardees or subawardees.

b. Government Entities

Government Entities (e.g., Government/National laboratories, military educational institutions, etc.) are subject to applicable direct competition limitations. Government Entities must clearly demonstrate that the work is not otherwise available from the private sector and provide written documentation citing the specific statutory authority and contractual authority, if relevant, establishing their ability to propose to Government solicitations and compete with industry. This information is required for Government Entities proposing to be awardees or subawardees.

c. Authority and Eligibility

At the present time, DARPA does not consider 15 U.S.C. § 3710a to be sufficient legal authority to show eligibility. While 10 U.S.C. § 2539b may be the appropriate statutory starting point for some entities, specific supporting regulatory guidance, together with evidence of agency approval, will still be required to fully establish eligibility. DARPA will consider FFRDC and Government Entity eligibility submissions on a case-by-case basis; however, the burden to prove eligibility for all team members rests solely with the proposer.

2. Foreign Entity Participation

Non-U.S. organizations and/or individuals may participate to the extent that such participants comply with any necessary nondisclosure agreements, security regulations, export control laws, and other governing statutes applicable under the circumstances. For classified submissions, this includes mitigating any Foreign Ownership Control and Influence (FOCI) issues prior to transmitting the submission to DARPA. Additional information on these subjects can be found at <https://www.dcsa.mil/mc/ctp/foci/>.

B. Organizational Conflicts of Interest

FAR 9.5 Requirements

In accordance with FAR 9.5, proposers are required to identify and disclose all facts relevant to potential OCIs involving the proposer's organization and *any* proposed team member (subawardee, consultant). Under this Section, the proposer is responsible for providing this

disclosure with each proposal submitted to the BAA. The disclosure must include the proposer's, and as applicable, proposed team member's OCI mitigation plan. The OCI mitigation plan must include a description of the actions the proposer has taken, or intends to take, to prevent the existence of conflicting roles that might bias the proposer's judgment and to prevent the proposer from having unfair competitive advantage. The OCI mitigation plan will specifically discuss the disclosed OCI in the context of each of the OCI limitations outlined in FAR 9.505-1 through FAR 9.505-4.

Agency Supplemental OCI Policy

In addition, DARPA has a supplemental OCI policy that prohibits contractors/performers from concurrently providing Scientific Engineering Technical Assistance (SETA), Advisory and Assistance Services (A&AS) or similar support services and being a technical performer. Therefore, as part of the FAR 9.5 disclosure requirement above, a proposer must affirm whether the proposer or *any* proposed team member (subawardee, consultant) is providing SETA, A&AS, or similar support to any DARPA office(s) under: (a) a current award or subaward; or (b) a past award or subaward that ended within one calendar year prior to the proposal's submission date.

If SETA, A&AS, or similar support is being or was provided to any DARPA office(s), the proposal must include:

- The name of the DARPA office receiving the support;
- The prime contract number;
- Identification of proposed team member (subawardee, consultant) providing the support; and
- An OCI mitigation plan in accordance with FAR 9.5.

Government Procedures

In accordance with FAR 9.503, 9.504 and 9.506, the Government will evaluate OCI mitigation plans to avoid, neutralize or mitigate potential OCI issues before award and to determine whether it is in the Government's interest to grant a waiver. The Government will only evaluate OCI mitigation plans for proposals that are determined selectable under the BAA evaluation criteria and funding availability.

The Government may require proposers to provide additional information to assist the Government in evaluating the proposer's OCI mitigation plan.

If the Government determines that a proposer failed to fully disclose an OCI; or failed to provide the affirmation of DARPA support as described above; or failed to reasonably provide additional information requested by the Government to assist in evaluating the proposer's OCI mitigation plan, the Government may reject the proposal and withdraw it from consideration for award.

Include any OCIs affirmations and disclosures in Volume 3: Attachment G: PROPOSAL TEMPLATE VOLUME 3: ADMINISTRATIVE & NATIONAL POLICY REQUIREMENTS.

C. Cost Sharing/Matching

Cost sharing is not required; however, it will be carefully considered where there is an applicable statutory condition relating to the selected funding instrument (e.g., OTs under the authority of 10 U.S.C. § 2371). Cost sharing is encouraged where there is a reasonable probability of a

potential commercial application related to the proposed research and development effort.

For more information on potential cost sharing requirements for Other Transactions for Prototype, see <http://www.darpa.mil/work-with-us/contract-management#OtherTransactions>.

IV. Application and Submission Information

Prior to submitting a full proposal, proposers are *strongly encouraged* to first submit an abstract as described below. This process allows a proposer to ascertain whether the proposed concept is: (1) applicable to the SAVaNT BAA and (2) currently of interest. For the purposes of this BAA, applicability is defined as follows:

- The proposed concept is applicable to the technical areas described herein.
- The proposed concept is important to DSO's current investment portfolio.
- The proposed concept investigates an innovative approach that enables revolutionary advances, i.e., will not primarily result in evolutionary improvements to the existing state of practice.
- The proposed work has not already been completed (i.e., the research element is complete but manufacturing/fabrication funds are required).
- The proposer has not already received funding or a positive funding decision for the proposed concept (whether from DARPA or another Government agency).

Abstracts and full proposals that are not found to be applicable to the SAVaNT BAA as defined above may be deemed non-conforming¹⁰ and removed from consideration. All abstracts and full proposals must provide sufficient information to assess the validity/feasibility of their claims as well as comply with the requirements outlined herein for submission formatting, content and transmission to DARPA. Abstracts and full proposals that fail to do so may be deemed non-conforming and removed from consideration. Proposers will be notified of non-conforming determinations via letter.

A. Address to Request Application Package

This document contains all information required to submit a response to this solicitation. No additional forms, kits, or other materials are needed except as referenced herein. No request for proposal or additional solicitation regarding this opportunity will be issued, nor is additional information available except as provided at the beta.SAM.gov website (<https://beta.sam.gov>), the Grants.gov website (<http://www.grants.gov>), or referenced herein.

B. Content and Form of Application Submission

1. Abstract Information and Formatting

As stated above, proposers are strongly encouraged to submit an abstract in advance of a full proposal to minimize effort and reduce the potential expense of preparing an out of scope proposal. All proposers are required to use Attachment A: ABSTRACT SUMMARY SLIDE TEMPLATE and Attachment B: ABSTRACT TEMPLATE provided with this solicitation on <https://beta.sam.gov>/ and <http://www.grants.gov>. Attachment A: ABSTRACT SUMMARY SLIDE TEMPLATE described herein must be in .ppt or .pptx format and should be attached as a separate file to this document.

¹⁰ "Conforming" is defined as having been submitted in accordance with the requirements outlined herein.

The abstract provides a synopsis of the proposed project by briefly answering the following questions:

- What is the proposed work attempting to accomplish or do?
- How is it done today, and what are the limitations?
- Who will care, and what will the impact be if the work is successful?
- How much will it cost, and how long will it take?

Proposers should note that a favorable response to an abstract is not a guarantee that a proposal based on the abstract will ultimately be selected for award negotiation.

While it is DARPA policy to attempt to reply to abstracts within thirty calendar days, proposers to this solicitation may anticipate a response within approximately three weeks. These official notifications will be sent via email to the Technical POC and/or Administrative POC identified on the abstract coversheet.

2. Full Proposal Information and Formatting

a. Proposal Volumes

Full proposals must consist of all 3 volumes described below. To assist in proposal development, templates for these volumes are posted as attachments to this solicitation on <https://beta.sam.gov/>. The templates are specific to each volume, as outlined below.

Full proposals requesting a procurement contract or Other Transaction must use the following attachments in each volume:

- **Volume 1**
 - Attachment C: PROPOSAL SUMMARY SLIDE TEMPLATE
 - Attachment D: PROPOSAL TEMPLATE VOLUME 1: TECHNICAL & MANAGEMENT
- **Volume 2**
 - Attachment E: PROPOSAL TEMPLATE VOLUME 2: COST
 - Attachment F: MS Excel™ DARPA COST PROPOSAL SPREADSHEET
- **Volume 3**
 - Attachment G: PROPOSAL TEMPLATE VOLUME 3: ADMINISTRATIVE & NATIONAL POLICY REQUIREMENTS

Full proposals requesting a grant or cooperative agreement must use the following attachments in addition to the Grants.gov application package:

- **Volume 1**
 - Attachment C: PROPOSAL SUMMARY SLIDE TEMPLATE
 - Attachment D: PROPOSAL TEMPLATE VOLUME 1: TECHNICAL & MANAGEMENT
- **Volume 2**
 - Attachment F: MS Excel™ DARPA COST PROPOSAL SPREADSHEET

- **Volume 3**

- Attachment G: PROPOSAL TEMPLATE VOLUME 3: ADMINISTRATIVE & NATIONAL POLICY REQUIREMENTS

Full proposals requesting a grant or cooperative agreement do not need to include Attachment E. Instead, Budget Justification should be provided as Section L of the SF 424 Research & Related Budget form provided via <http://www.grants.gov> (see section IV.E.1.c for additional details). The Budget Justification should include the following information for the recipient and all subawardees:

- **Direct Labor (sections A and B)** - Detail the total number of persons and their level of commitment for each position listed as well as which specific tasks (as described in the SOW) they will support.
- **Equipment (section C)** - Provide an explanation for listed requested equipment exceeding \$5,000, properly justifying why it is required to meet the objectives of the program.
- **Travel (section D)** - Provide the purpose of the trip, number of trips, number of days per trip, departure and arrival destinations, number of people, etc.
- **Other Direct Costs (section F)** - Provide a justification for the items requested and an explanation of how the estimates were obtained.
- **Participant/Trainee Support Costs section E** - Provide details on Tuition/ Fees/ Health Insurance, Stipends, Travel and Subsistence costs.

The Government requires that proposers use the provided Attachment F: MS Excel™ DARPA COST PROPOSAL SPREADSHEET in the development of their cost proposals. All tabs and tables in the cost proposal spreadsheet should be developed in an editable format with calculation formulas intact to allow traceability of the cost proposal. This cost proposal spreadsheet should be used by the prime organization and all subcontractors. In addition to using the cost proposal spreadsheet, the cost proposal still must include all other items required in this announcement that are not covered by the editable spreadsheet. Subcontractor cost proposal spreadsheets may be submitted directly to the Government by the proposed subcontractor via e-mail to the address in Part I of this solicitation. Using the provided cost proposal spreadsheet will assist the Government in a rapid analysis of your proposed costs and, if your proposal is selected for award, speed up the negotiation and award execution process.

All proposers are required to use the appropriate templates based on the type of award requested. Templates are provided as attachments to this solicitation on <https://beta.sam.gov/> and <http://www.grants.gov>. Full Proposals that do not include the appropriate attachments as detailed here may be deemed non-conforming and may not be evaluated.

b. DARPA Embedded Entrepreneur Initiative (EEI)

(DARPA EEI is an optional sub-section that does not count toward page count.) To catalyze the conversion of scientific discovery to impact, the Defense Sciences Office offers applicants the opportunity for additional funding and transition assistance through participation in EEI. EEI may provide additional funding, up to \$250,000, to employ one entrepreneur-in residence or one corporate business development lead. The entrepreneurial lead's ultimate goal is to develop a

robust Go-to-Market strategy for entering into defense and commercial markets.

All commercialization and transition activities will be timed to suit the performer's stage of maturity. Often, the EEI work is most useful in year two or three of an effort. Activities conducted can include, but are not limited to; cost modeling, end user engagement, market analysis and mapping, competitive analysis, techno-economic analysis, manufacturing and scale-up strategy, IP securement strategy, and financial plan creation.

EEI participants will work closely with DARPA's Commercial Strategy team and their extensive network of U.S. investors, strategic partners, and mentors.

Proposers wishing to participate in EEI must include the following information:

- In Volume 1 (not included in page count), Attachment D: PROPOSAL TEMPLATE VOLUME 1: TECHNICAL & MANAGEMENT include an initial hypothesis describing how the proposed technology will transition from its current state to future integration into a product or capability.
- In Volume 2 include a separately costed option in Attachment F: MS Excel™ DARPA COST PROPOSAL SPREADSHEET not to exceed \$250,000 that includes tasks describing plans to build and refine a viable Go-to-Market Strategy over the course of the effort. Tasks contributing to the build of a robust Go-to-Market Strategy can include, but are not limited to, cost modeling, end user engagement, market analysis and mapping, competitive analysis, techno-economic analysis, manufacturing and scale-up strategy, IP securement strategy, and financial plan creation.

Selection for award does not imply selection for participation in EEI. The DARPA EEI option will be exercised at the discretion of the Government based on a performer's technical accomplishments and progress towards development of a technology with transition and commercialization potential and subject to the availability of funding.

Participation in the Embedded Entrepreneur Initiative is voluntary. Participants are not expected to form a new company or leave their current research positions to pursue transition but are expected to, throughout the lifecycle of the proposed effort, identify appropriate partners for enabling transition. EEI funding requests should be consistent with the proposed work scope and proposed timeline, but are anticipated to be in the range of \$250,000 per performer.

3. Proprietary Information

Proposers are responsible for clearly identifying proprietary information. Submissions containing proprietary information must have the cover page and each page containing such information clearly marked with a label such as "Proprietary" or "Company Proprietary." NOTE: "Confidential" is a classification marking used to control the dissemination of U.S. Government National Security Information as dictated in Executive Order 13526 and should not be used to identify proprietary business information. See Section IV.E.1.e for additional information.

4. Security Information

DARPA anticipates that submissions received under this BAA will be unclassified. However, should a proposer wish to submit classified information, an *unclassified* email must be sent to the BAA mailbox requesting submission instructions from the DARPA/DSO Program Security Officer (PSO).

Security classification guidance and direction via a Security Classification Guard (SCG) and/or DD Form 254, “DoD Contract Security Classification Specification,” will not be provided at this time, since DARPA is soliciting ideas only. If a determination is made that the award instrument may result in access to classified information, a SCG and/or DD Form 254 will be issued by DARPA and attached as part of the award.

C. Submission Dates and Times

Proposers are warned that submission deadlines as outlined herein are in Eastern Time and will be strictly enforced. When planning a response to this solicitation, proposers should take into account that some parts of the submission process may take from one business day to one month to complete (e.g., registering for a Data Universal Numbering System (DUNS) number or Taxpayer Identification Number (TIN)).

DARPA will acknowledge receipt of *complete* submissions via email and assign identifying numbers that should be used in all further correspondence regarding those submissions. If no confirmation is received within two business days, please contact the BAA Administrator at SAVaNT@darpa.mil to verify receipt.

1. Abstracts

Abstracts must be submitted per the instructions outlined herein *and received by DARPA* no later than the due date and time listed in Part One: Overview Information. Abstracts received after this time and date may not be reviewed.

2. Full Proposals

Full proposal packages as detailed in Section IV.B.2 above, and, as applicable, proprietary subawardee cost proposals and classified appendices to unclassified proposals, must be submitted per the instructions outlined herein *and received by DARPA* no later than the due date and time listed in Part One: Overview Information. Proposals received after this time and date may not be reviewed.

D. Funding Restrictions

Not applicable.

E. Other Submission Requirements

1. Unclassified Submission Instructions

Proposers must submit all parts of their submission package using the same method; submissions cannot be sent in part by one method and in part by another method nor should duplicate submissions be sent by multiple methods. Email submissions will not be accepted. Failure to comply with the submission procedures outlined herein may result in the submission being deemed non-conforming and withdrawn from consideration.

a. Abstracts

DARPA/DSO will employ an electronic upload submission system (<https://baa.darpa.mil/>) for all UNCLASSIFIED abstracts sent in response to this solicitation. *Abstracts must not be submitted via Grants.gov.*

First time users of the DARPA BAA Submission website must complete a two-step account

creation process. The first step consists of registering for an extranet account by going to the URL listed above and selecting the “Account Request” link. Upon completion of the online form, proposers will receive two separate emails; one will contain a user name and the second will provide a temporary password. Once both emails have been received, the second step requires proposers to go back to the submission website and log in using that user name and password. After accessing the extranet, proposers may then create a user account for the DARPA BAA Submission website by selecting the “Register your Organization” link at the top of the page. Once the user account is created, proposers will be able to see a list of solicitations open for submissions, view submission instructions, and upload/finalize their abstract.

Proposers who already have an account on the DARPA BAA Submission website may simply log in at <https://baa.darpa.mil/>, select this solicitation from the list of open DARPA solicitations and proceed with their abstract submission. *NOTE: Proposers who have created a DARPA BAA Submission website account to submit to another DARPA Technical Office’s solicitations do not need to create a new account to submit to this solicitation.*

All abstracts submitted electronically through the DARPA BAA Submission website must meet the following requirements: (1) uploaded as a zip file (.zip or .zipx extension); (2) only contain the document(s) requested herein; (3) only contain unclassified information; and (4) must not exceed 100 MB in size. Only one zip file will be accepted per abstract and abstracts not uploaded as zip files will be rejected by DARPA.

Technical support for the DARPA BAA Submission website is available during regular business hours, Monday – Friday, 9:00 a.m. – 5:00 p.m. Requests for technical support must be emailed to BAAT_Support@darpa.mil with a copy to SAVaNT@darpa.mil. Questions regarding submission contents, format, deadlines, etc. should be emailed to SAVaNT@darpa.mil. Questions/requests for support sent to any other email address may result in delayed/no response.

Since proposers may encounter heavy traffic on the web server, DARPA discourages waiting until the day abstracts are due to request an account and/or upload the submission.

NOTE: Proposers submitting an abstract via the DARPA BAA Submission site MUST (1) click the “Finalize” button in order for the submission to upload AND (2) do so with sufficient time for the upload to complete prior to the deadline. Failure to do so will result in a late submission.

b. Proposals Requesting a Procurement Contract or Other Transaction

Proposers requesting procurement contracts or Other Transactions may submit full proposals through ONE of the following methods: (1) electronic upload (DARPA-preferred); or (2) direct mail/hand-carry.

i. Electronic Upload

DARPA/DSO encourages proposers to submit UNCLASSIFIED proposals via the DARPA BAA Submission website at <https://baa.darpa.mil>.

First time users of the DARPA BAA Submission website must complete a two-step account creation process. The first step consists of registering for an extranet account by going to the URL listed above and selecting the “Account Request” link. Upon completion of the online form, proposers will receive two separate emails; one will contain a user name and the second will provide a temporary password. Once both emails have been received, the second step requires proposers to go back to the submission website and log in using that user name and password. After accessing the extranet, proposers may then create a user account for the DARPA

BAA Submission website by selecting the “Register your Organization” link at the top of the page. Once the user account is created, proposers will be able to see a list of solicitations open for submissions, view submission instructions, and upload/finalize their proposal.

Proposers who already have an account on the DARPA BAA Submission website may simply log in at <https://baa.darpa.mil>, select this solicitation from the list of open DARPA solicitations and proceed with their proposal submission. *NOTE: Proposers who have created a DARPA BAA Submission website account to submit to another DARPA Technical Office’s solicitations do not need to create a new account to submit to this solicitation.*

All full proposals submitted electronically through the DARPA BAA Submission website must meet the following requirements: (1) uploaded as a zip file (.zip or .zipx extension); (2) only contain the document(s) requested herein; (3) only contain unclassified information; and (4) must not exceed 100 MB in size. Only one zip file will be accepted per full proposal and full proposals not uploaded as zip files will be rejected by DARPA.

Technical support for the DARPA BAA Submission website is available during regular business hours, Monday – Friday, 9:00 a.m. – 5:00 p.m. Requests for technical support must be emailed to BAAT_Support@darpa.mil with a copy to SAVaNT@darpa.mil. Questions regarding submission contents, format, deadlines, etc. should be emailed to SAVaNT@darpa.mil. Questions/requests for support sent to any other email address may result in delayed/no response.

Since proposers may encounter heavy traffic on the web server, DARPA discourages waiting until the day proposals are due to request an account and/or upload the submission. NOTE: Proposers submitting a proposal via the DARPA BAA Submission site MUST (1) click the “Finalize” button in order for the submission to upload AND (2) do so with sufficient time for the upload to complete prior to the deadline. Failure to do so will result in a late submission.

ii. Direct Mail/Hand-carry

Proposers electing to submit procurement contract or Other Transaction proposals via direct mail or hand-carried must provide one paper copy and one electronic copy on CD or DVD of the full proposal package. All parts of the proposal package must be mailed or hand-carried in a single delivery to the address noted in Section VII below.

c. Proposals Requesting a Grant or Cooperative Agreement

Proposers requesting grants or cooperative agreements must submit proposals through one of the following methods: (1) electronic upload per the instructions at <https://www.grants.gov/applicants/apply-for-grants.html> (DARPA-preferred); or (2) hard-copy mailed directly to DARPA. If proposers intend to use Grants.gov as their means of submission, then they must submit their entire proposal through Grants.gov; applications cannot be submitted in part to Grants.gov and in part as a hard-copy. Proposers using Grants.gov do not submit hard-copy proposals in addition to the Grants.gov electronic submission.

Submissions: In addition to the volumes and corresponding attachments listed in Section IV.B.2 above, proposers must also submit the three forms listed below.

Form 1: SF 424 Research and Related (R&R) Application for Federal Assistance, available on the Grants.gov website at https://apply07.grants.gov/apply/forms/sample/RR_SF424_2_0-V2.0.pdf. This form must be completed and submitted.

To evaluate compliance with Title IX of the Education Amendments of 1972 (20 U.S.C. A§ 1681 et.seq.), the Department of Defense (DoD) is collecting certain demographic and career information to be able to assess the success rates of women who are proposed for key roles in applications in science, technology, engineering or mathematics disciplines. In addition, the National Defense Authorization Act (NDAA) for FY 2019, Section 1286, directs the Secretary of Defense to protect intellectual property, controlled information, key personnel, and information about critical technologies relevant to national security and limit undue influence, including foreign talent programs by countries that desire to exploit United States' technology within the DoD research, science and technology, and innovation enterprise. This requirement is necessary for all research and research-related educational activities. The DoD is using the two forms below to collect the necessary information to satisfy these requirements. Detailed instructions for each form are available on Grants.gov.

Form 2: Research and Related Senior/Key Person Profile (Expanded), available on the Grants.gov website at https://apply07.grants.gov/apply/forms/sample/RR_KeyPersonExpanded_2_0-V2.0.pdf. This form must be completed and submitted.

The Research and Related Senior/Key Person Profile (Expanded) form will be used to collect the following information for all senior/key personnel, including Project Director/Principal Investigator and Co-Project Director/Co-Principal Investigator, whether or not the individuals' efforts under the project are funded by the DoD:

- Degree Type and Degree Year.
- Current and Pending Support, including:
 - A list of all current projects the individual is working on, in addition to any future support the individual has applied to receive, regardless of the source.
 - Title and objectives of the other research projects.
 - The percentage per year to be devoted to the other projects.
 - The total amount of support the individual is receiving in connection to each of the other research projects or will receive if other proposals are awarded.
 - Name and address of the agencies and/or other parties supporting the other research projects
 - Period of performance for the other research projects.

Additional senior/key persons can be added by selecting the “Next Person” button at the bottom of the form. Note that although applications without this information completed may pass Grants.gov edit checks, if DARPA receives an application without the required information, DARPA may determine that the application is incomplete and may cause your submission to be rejected and eliminated from further review and consideration under the BAA. DARPA reserves the right to request further details from the applicant before making a final determination on funding the effort.

Form 3: Research and Related Personal Data, available on the Grants.gov website at https://apply07.grants.gov/apply/forms/sample/RR_PersonalData_1_2-V1.2.pdf. Each applicant must complete the name field of this form, however, provision of the demographic information is

voluntary. Regardless of whether the demographic fields are completed or not, this form must be submitted with at least the applicant's name completed.

i. Electronic Upload

DARPA encourages grant and cooperative agreement proposers to submit their proposals via electronic upload at <http://www.grants.gov/web/grants/applicants/apply-for-grants.html>. Proposers electing to use this method must complete a one-time registration process on Grants.gov before a proposal can be electronically submitted. *If proposers have not previously registered, this process can take up to four weeks so registration should be done in sufficient time to ensure it does not impact a proposer's ability to meet required submission deadlines.* Registration requirements and instructions are outlined at <http://www.grants.gov/web/grants/register.html>.

Carefully follow the DARPA submission instructions provided with the solicitation application package on Grants.gov. Only the required forms listed therein (e.g., SF-424 and Attachments form) should be included in the submission. *NOTE: Grants.gov does not accept zipped or encrypted proposals.*

Once Grants.gov has received an uploaded proposal submission, Grants.gov will send two email messages to notify proposers that: (1) the proposal has been received by Grants.gov; and (2) the proposal has been either validated or rejected by the system. *It may take up to two business days to receive these emails.* If the proposal is validated, then the proposer has successfully submitted their proposal. If the proposal is rejected, the submission must be corrected, resubmitted and revalidated before DARPA can retrieve it. If the solicitation is no longer open, the rejected proposal cannot be resubmitted. Once the proposal is retrieved by DARPA, Grants.gov will send a third email to notify the proposer. DARPA will send a final confirmation email as described in Section IV.C.

To avoid missing deadlines, Grants.gov recommends that proposers submit their proposals to Grants.gov 24-48 hours in advance of the proposal due date to provide sufficient time to complete the registration and submission process, receive email notifications and correct errors, as applicable.

Technical support for Grants.gov submissions may be reached at 1-800-518-4726 or support@grants.gov.

ii. Direct Mail/Hand-carry

Proposers electing to submit grant or cooperative agreement proposals via direct mail or hand-carried must provide one paper copy and one electronic copy on CD or DVD of the full proposal package. Proposers must complete the SF 424 R&R form (Application for Federal Assistance, Research and Related) provided at Grants.gov as part of the opportunity application package for this BAA and include it in the proposal submission. All parts of the proposal package must be mailed or hand-carried to the address noted in Section VII below.

d. Review and Selection Process

DARPA will conduct a scientific/technical review of each conforming proposal. Conforming proposals comply with all requirements detailed in this BAA; proposals that fail to do so may be deemed non-conforming and may be removed from consideration. Proposals will not be evaluated against each other since they are not submitted in accordance with a common work

statement. DARPA's intent is to review proposals as soon as possible after they arrive; however, proposals may be reviewed periodically for administrative reasons.

The review process identifies proposals that meet the evaluation criteria described below and are, therefore, selectable for negotiation of awards by the Government. DARPA policy is to ensure impartial, equitable, comprehensive proposal evaluations and to select proposals that meet DARPA technical, policy, and programmatic goals. Proposals that are determined selectable will not necessarily receive awards (see Section II). Selections may be made at any time during the period of solicitation. For evaluation purposes, a proposal is defined to be the document and supporting materials as described in Section IV.

e. Handling of Source Selection Information

DARPA policy is to treat all submissions as source selection information (FAR 2.101 and 3.104), and to only disclose their contents to authorized personnel. Restrictive notices notwithstanding, submissions may be handled by support contractors for administrative purposes and/or to assist with technical evaluation. All DARPA support contractors performing this role are expressly prohibited from performing DARPA-sponsored technical research and are bound by appropriate nondisclosure agreements. Subject to the restrictions set forth in FAR 37.203(d), DARPA may also request input on technical aspects of the proposals from other non-Government consultants/experts who are strictly bound by the appropriate non-disclosure requirements.

Submissions will not be returned. The original of each submission received will be retained at DARPA and all other non-required copies destroyed. A certification of destruction may be requested via email to the BAA mailbox, provided the formal request is received within 5 days after being notified of submission status.

V. Application Review Information

A. Evaluation Criteria

Proposals will be evaluated using the following criteria listed in descending order of importance: Overall Scientific and Technical Merit; Potential Contribution and Relevance to the DARPA Mission; and Cost Realism.

- **Overall Scientific and Technical Merit**

The proposed technical approach is innovative, feasible, achievable, and complete. The proposed technical team has the expertise and experience to accomplish the proposed tasks. Task descriptions and associated technical elements provided are complete and in a logical sequence with all proposed deliverables clearly defined such that a final outcome that achieves the goal can be expected as a result of award. The proposal identifies major technical risks and planned mitigation efforts are clearly defined and feasible. The proposed schedule aggressively pursues performance metrics in an efficient time frame that accurately accounts for the anticipated workload.

- **Potential Contribution and Relevance to the DARPA Mission**

The potential contributions of the proposed effort bolster the national security technology base, and support DARPA's mission to make pivotal early technology investments that create or prevent technological surprise. The proposed intellectual property restrictions (if any) will not significantly impact the Government's ability to transition the technology.

- **Cost Realism**

The proposed costs are realistic for the technical and management approach and accurately reflect the technical goals and objectives of the solicitation. The proposed costs are consistent with the proposer's Statement of Work and reflect a sufficient understanding of the costs and level of effort needed to successfully accomplish the proposed technical approach. The costs for the prime proposer and proposed subawardees are substantiated by the details provided in the proposal (e.g., the type and number of labor hours proposed per task, the types and quantities of materials, equipment and fabrication costs, travel and any other applicable costs and the basis for the estimates).

B. Federal Awardee Performance and Integrity Information (FAPIS)

Following the review and selection process described above, but prior to making an award above the simplified acquisition threshold (FAR 2.101), DARPA is required¹¹ to review and consider any information available through the designated integrity and performance system (currently FAPIS). Selectees have the opportunity to comment on any information about themselves entered in the database. DARPA will consider any comments and other information in FAPIS or other systems prior to making an award.

VI. Award Administration Information

A. Selection Notices

After proposal evaluations are complete, proposers will be notified as to whether their proposal was selected for award negotiation as a result of the review process. Notification will be sent by email to the Technical and Administrative POCs identified on the proposal cover sheet. If a proposal has been selected for award negotiation, the Government will initiate those negotiations following the notification.

B. Administrative and National Policy Requirements

1. Solicitation Provisions and Award Clauses, Terms and Conditions

Solicitation provisions relevant to DARPA BAAs are listed on the Additional BAA Content page on DARPA's website at www.darpa.mil/work-with-us/additional-baa. This page also lists award clauses that, depending on their applicability, may be included in the terms and conditions of awards resultant from DARPA solicitations. This list is not exhaustive and the clauses, terms and conditions included in a resultant award will depend on the nature of the research effort, the specific award instrument, the type of awardee, and any applicable security or publication restrictions.

For terms and conditions specific to grants and/or cooperative agreements, see the DoD General Research Terms and Conditions (latest version) at <http://www.onr.navy.mil/Contracts-Grants/submit-proposal/grants-proposal/grants-terms-conditions> and the supplemental DARPA-specific terms and conditions at <http://www.darpa.mil/work-with-us/contract-management#GrantsCooperativeAgreements>.

The above information serves to put potential proposers and awardees on notice of proposal requirements and award terms and conditions to which they may have to adhere.

¹¹ Per 41 U.S.C. 2313, as implemented by FAR 9.103 and 2 CFR § 200.205.

2. System for Award Management (SAM) and Universal Identifier Requirements

All proposers must be registered in SAM unless exempt per FAR 4.1102. FAR 52.204-7, “System for Award Management” and FAR 52.204-13, “System for Award Management Maintenance” are incorporated into this BAA. See <http://www.darpa.mil/work-with-us/additional-baa> for further information.

International entities can register in SAM by following the instructions in this link: https://www.fsd.gov/fsd-gov/answer.do?sysparm_kbid=dbf8053adb119344d71272131f961946&sysparm_search=KB0013221.

NOTE: New registrations can take an average of 7-10 business days to process in SAM. SAM registration requires the following information:

- DUNS number
- TIN
- Commercial and Government Entity (CAGE) Code. If a proposer does not already have a CAGE code, one will be assigned during SAM registration.
- Electronic Funds Transfer information (e.g., proposer’s bank account number, routing number, and bank phone or fax number).

3. Representations and Certifications

In accordance with FAR 4.1102 and 4.1201, proposers requesting a procurement contract must complete electronic annual representations and certifications at <https://www.sam.gov/>. In addition, resultant procurement contracts will require supplementary DARPA-specific representations and certifications. See <http://www.darpa.mil/work-with-us/additional-baa> for further information.

4. Intellectual Property

Proposers should note that the Government does not own the intellectual property or technical data/computer software developed under Government contracts. The Government acquires the right to use the technical data/computer software. Regardless of the scope of the Government’s rights, awardees may freely use their same data/software for their own commercial purposes (unless restricted by U.S. export control laws or security classification). Therefore, technical data and computer software developed under this solicitation will remain the property of the awardees, though DARPA will have, at a minimum, Government Purpose Rights (GPR) to technical data and computer software developed through DARPA sponsorship.

If proposers desire to use proprietary computer software or technical data or both as the basis of their proposed approach, in whole or in part, they should: (1) clearly identify such software/data and its proposed particular use(s); (2) explain how the Government will be able to reach its program goals (including transition) within the proprietary model offered; and (3) provide possible nonproprietary alternatives in any area that might present transition difficulties or increased risk or cost to the Government under the proposed proprietary solution. Proposers expecting to use, but not to deliver, commercial open source tools or other materials in implementing their approach may be required to indemnify the Government against legal

liability arising from such use.

All references to "Unlimited Rights" or "Government Purpose Rights" are intended to refer to the definitions of those terms as set forth in the Defense Federal Acquisition Regulation Supplement (DFARS) 227.

a. Intellectual Property Representations

All proposers must provide a good faith representation of either ownership or possession of appropriate licensing rights to all other intellectual property to be used for the proposed project. Proposers must provide a short summary for each item asserted with less than unlimited rights that describes the nature of the restriction and the intended use of the intellectual property in the conduct of the proposed research. See Attachment G: PROPOSAL TEMPLATE VOLUME 3: ADMINISTRATIVE & NATIONAL POLICY REQUIREMENTS, Section 4.

b. Patents

All proposers must include documentation proving ownership or possession of appropriate licensing rights to all patented inventions to be used for the proposed project. If a patent application has been filed for an invention, but it includes proprietary information and is not publicly available, a proposer must provide documentation that includes: the patent number, inventor name(s), assignee names (if any), filing date, filing date of any related provisional application, and summary of the patent title, with either: (1) a representation of invention ownership; or (2) proof of possession of appropriate licensing rights in the invention (i.e., an agreement from the owner of the patent granting license to the proposer)..

c. Procurement Contracts

i. Noncommercial Items (Technical Data and Computer Software)

Proposers requesting a procurement contract must list all noncommercial technical data and computer software that it plans to generate, develop, and/or deliver, in which the Government will acquire less than unlimited rights and to assert specific restrictions on those deliverables. In the event a proposer does not submit the list, the Government will assume that it has unlimited rights to all noncommercial technical data and computer software generated, developed, and/or delivered, unless it is substantiated that development of the noncommercial technical data and computer software occurred with mixed funding. If mixed funding is anticipated in the development of noncommercial technical data and computer software generated, developed, and/or delivered, proposers should identify the data and software in question as subject to GPR. In accordance with DFARS 252.227-7013, "Rights in Technical Data - Noncommercial Items," and DFARS 252.227-7014, "Rights in Noncommercial Computer Software and Noncommercial Computer Software Documentation," the Government will automatically assume that any such GPR restriction is limited to a period of 5 years, at which time the Government will acquire unlimited rights unless the parties agree otherwise. The Government may use the list during the evaluation process to evaluate the impact of any identified restrictions and may request additional information from the proposer, as may be necessary, to evaluate the proposer's assertions. Failure to provide full information may result in a determination that the proposal is non-conforming. A template for complying with this request is provided in Attachment G: PROPOSAL TEMPLATE VOLUME 3: ADMINISTRATIVE & NATIONAL POLICY REQUIREMENTS, Section 4.

ii. Commercial Items (Technical Data and Computer Software)

Proposers requesting a procurement contract must list all commercial technical data and commercial computer software that may be included in any noncommercial deliverables contemplated under the research project, and assert any applicable restrictions on the Government's use of such commercial technical data and/or computer software. In the event a proposer does not submit the list, the Government will assume there are no restrictions on the Government's use of such commercial items. The Government may use the list during the evaluation process to evaluate the impact of any identified restrictions and may request additional information from the proposer to evaluate the proposer's assertions. Failure to provide full information may result in a determination that the proposal is non-conforming. A template for complying with this request is provided in Attachment G: PROPOSAL TEMPLATE VOLUME 3: ADMINISTRATIVE & NATIONAL POLICY REQUIREMENTS, Section 4.

d. Other Types of Awards

Proposers requesting an award instrument other than a procurement contract shall follow the applicable rules and regulations governing those award instruments, but in all cases should appropriately identify any potential restrictions on the Government's use of any intellectual property contemplated under those award instruments. This includes both noncommercial items and commercial items. The Government may use the list as part of the evaluation process to assess the impact of any identified restrictions, and may request additional information from the proposer, to evaluate the proposer's assertions. Failure to provide full information may result in a determination that the proposal is non-conforming. A template for complying with this request is provided in Attachment G: PROPOSAL TEMPLATE VOLUME 3: ADMINISTRATIVE & NATIONAL POLICY REQUIREMENTS, Section 4.

5. Human Subjects Research (HSR)/Animal Use

Proposers that anticipate involving human subjects or animals in the proposed research must comply with the approval procedures detailed at <http://www.darpa.mil/work-with-us/additional-baa>, to include providing the information specified therein as required for proposal submission.

6. Controlled Unclassified Information (CUI) and Controlled Technical Information (CTI) on Non-DoD Information Systems

Proposers and awardees are subject to DoD requirements related to protection of CUI and CTI IAW Executive Order 13556, *Controlled Unclassified Information*, DFARS 252.204-7000, *Disclosure of Information*, DFARS 252.204-7012, *Safeguarding Covered Defense Information and Cyber Incident Reporting*, DoD Manual 5200.01 Volume 4, *DoD Information Security Program – CUI*, DoD Instruction 8582.01, *Security of Non-DoD Information Systems Processing Unclassified Nonpublic DoD Information*. See <http://www.darpa.mil/work-with-us/additional-baa> for additional guidance on protecting CUI on Non-DoD Information Systems.

CUI is defined as unclassified information that requires safeguarding or dissemination controls, pursuant to and consistent with applicable law, regulations, and Government-wide policies.

Controlled Technical Information (CTI) is defined as technical information with military or space application that is subject to controls on its access, use, reproduction, modification, performance, display, release, disclosure, or dissemination. The term CTI does not include information that is lawfully publicly available without restrictions.

DoD considers "technical information" to be technical data or computer software, as those terms are defined in Defense Federal Acquisition Regulation Supplement clause 252.227-7013, "Rights

in Technical Data - Noncommercial Items" (48 CFR 252.227-7013). Examples of technical information include research and engineering data, engineering drawings and associated lists, specifications, standards, process sheets, manuals, technical reports, technical orders, catalog-item identifications, data sets, studies and analyses and related information, and computer software code. Note that such technical information may or may not be controlled (i.e., CTI), depending on whether it has military or space application.

It is anticipated that TAs 1 and 2 may generate information subject to CUI controls. As a result, TA 1 and TA 2 performers are required to comply with DoD requirements pertaining to protection of CUI. Proposers should indicate in their proposal if their proposed solution includes CUI. All TA 1 and TA 2 proposals indicating CUI requirements must include a draft CUI protection plan in Attachment G, PROPOSAL TEMPLATE VOLUME 3: ADMINISTRATIVE & NATIONAL POLICY REQUIREMENTS detailing how CUI will be protected at performer sites as well as at sub-contractor locations. The draft CUI protection plan is not a source selection criteria, and there is no page limit. During selection and negotiation, DARPA will determine additional requirements and clarification required of the CUI protection plan. DARPA has generated and provided an Unclassified CUI Guide and included it with this BAA as Attachment H: CONTROLLED UNCLASSIFIED INFORMATION (CUI) GUIDE to assist in proposal and CUI protection plan preparation. Potential award instruments for proposals containing CUI will be limited to contracts or Other Transactions.

As part of Attachment D: PROPOSAL TEMPLATE VOLUME 1: TECHNICAL & MANAGEMENT, the proposer should include a Statement of Work with a breakdown of all research tasks and subtasks and indicate the proposed classification for each. For all tasks and subtasks proposed to be unclassified, proposers should distinguish between work proposed to be Fundamental Research versus work proposed to be CUI. Proposers will provide a short explanation for why each subtask should be categorized as Fundamental Research or CUI.

If CUI tasks are proposed in the Statement of Work regardless of the TA, proposers must provide a plan for protecting Controlled Unclassified Information as part of Attachment G, PROPOSAL TEMPLATE VOLUME 3: ADMINISTRATIVE & NATIONAL POLICY REQUIREMENTS.

CTI is to be marked "DISTRIBUTION C. Distribution authorized to U.S. Government agencies and their contractors; Critical Technology; [current date]. Other requests for this document shall be referred to DARPA, DSO" in accordance with Department of Defense Instruction 5230.24, "Distribution Statements on Technical Documents."

7. Electronic Invoicing and Payments

Awardees will be required to submit invoices for payment electronically via Wide Area Work Flow (WAWF), accessed through the Procurement Integrated Enterprise Environment at <https://piee.eb.mil/>, unless an exception applies. Registration in WAWF is required prior to any award under this BAA.

8. Representations Regarding Proposed Key Personnel

The National Defense Authorization Act (NDAA) for FY 2019, Section 1286, directs the Secretary of Defense to protect intellectual property, controlled information, key personnel, and information about critical technologies relevant to national security and limit undue influence, including foreign talent programs by countries that desire to exploit United States' technology

within the DoD research, science and technology, and innovation enterprise. This requirement is necessary for all research and research-related educational activities.

The following information is required for all senior/key personnel, including Project Director/Principal Investigator and Co-Project Director/Co-Principal Investigator, whether or not the individuals' efforts under the project are funded by the DoD. (*NOTE: Proposers requesting a grant or cooperative agreement do not need to complete this section if they have completed Form 2 as part of their Grants.gov application per section IV.E.1.c*):

- Degree Type and Degree Year
- Current and Pending Support, including:
 - A list of all current projects the individual is working on, in addition to any future support the individual has applied to receive, regardless of the source
 - Title and objectives of the other research projects
 - The percentage per year to be devoted to the other projects
 - The total amount of support the individual is receiving in connection to each of the other research projects or will receive if other proposals are awarded
 - Name and address of the agencies and/or other parties supporting the other research projects
 - Period of performance for the other research projects

9. Publication of Grant Awards

Per Section 8123 of the Department of Defense Appropriations Act, 2015 (Pub. L. 113-235), all grant awards must be posted on a public website in a searchable format. To comply with this requirement, proposers requesting grant awards must submit a maximum one (1) page abstract that may be publicly posted and explains the program or project to the public. The proposer should sign the bottom of the abstract confirming the information in the abstract is approved for public release. Proposers are advised to provide both a signed PDF copy, as well as an editable (e.g., Microsoft word) copy. Abstracts contained in grant proposals that are not selected for award will not be publicly posted.

10. Disclosure of Information and Compliance with Safeguarding Covered Defense Information Controls

The following provisions and clause apply to all solicitations and contracts; however, the definition of “controlled technical information” clearly exempts work considered fundamental research and therefore, even though included in the contract, will not apply if the work is fundamental research.

DFARS 252.204-7000, “Disclosure of Information”

DFARS 252.204-7008, “Compliance with Safeguarding Covered Defense Information Controls”

DFARS 252.204-7012, “Safeguarding Covered Defense Information and Cyber Incident Reporting”

The full text of the above solicitation provision and contract clauses can be found at <http://www.darpa.mil/work-with-us/additional-baa#NPRPAC>.

Compliance with the above requirements includes the mandate for proposers to implement the security requirements specified by National Institute of Standards and Technology (NIST) Special Publication (SP) 800-171, “Protecting Controlled Unclassified Information in Nonfederal Information Systems and Organizations” (see <https://doi.org/10.6028/NIST.SP.800-171r1>) that are in effect at the time the BAA is issued.

For awards where the work is considered fundamental research, the contractor will not have to implement the aforementioned requirements and safeguards. However, should the nature of the work change during performance of the award, work not considered fundamental research will be subject to these requirements.

For awards where the work is considered fundamental research, the contractor will not have to implement the aforementioned requirements and safeguards. However, should the nature of the work change during performance of the award, work not considered fundamental research will be subject to these requirements.

C. Reporting

1. Technical and Financial Reports

The number and types of technical and financial reports required under the award will be specified in the award document and may include monthly financial reports, monthly technical reports, and/or a yearly status summary. A final report that summarizes the project and tasks will be required at the conclusion of the performance period for the award. The reports shall be prepared and submitted in accordance with the procedures contained in the award document.

2. Patent Reports and Notifications

All resultant awards will contain a mandatory requirement for patent reports and notifications to be submitted electronically through i-Edison (<https://public.era.nih.gov/iedison>).

VII. Agency Contacts

DARPA will use email for all technical and administrative correspondence regarding this solicitation.

- **Technical POC:** Tatjana Curcic, Program Manager, DARPA/DSO
- **BAA Email:** SAVaNT@darpa.mil
- **BAA Mailing Address:**
DARPA/DSO
ATTN: HR001120S0062
675 North Randolph Street
Arlington, VA 22203-2114
- **DARPA/DSO Opportunities Website:** <http://www.darpa.mil/work-with-us/opportunities>

For information concerning agency level protests see <http://www.darpa.mil/work-with-us/additional-baa#NPRPAC>.

VIII. Other Information

A. Frequently Asked Questions (FAQs)

Administrative, technical, and contractual questions should be emailed to SAVaNT@darpa.mil. All questions must be in English and must include the name, email address, and the telephone number of a point of contact.

DARPA will attempt to answer questions in a timely manner; however, questions submitted within 10 days of the proposal due date may not be answered. DARPA will post an FAQ list at: <http://www.darpa.mil/work-with-us/opportunities>. The list will be updated on an ongoing basis until the BAA expiration date as stated in Part I.

B. Proposers Day

The SAVaNT Proposers Day webcast will be held on September 3rd, 2020. Advance registration is required. See DARPA-SN-20-61 posted at <https://beta.sam.gov/> for all details. Participation in the SAVaNT Proposers Day webcast is voluntary and is not required to propose to this solicitation.